

2813

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
08228.020001

In Re Application Of: **Shiro SAKAI**

Serial No.  
10/056,611

Filing Date  
01/24/2002

Examiner  
Thanh T. Nguyen

Group Art Unit  
2813

Title: **METHOD FOR MANUFACTURING GALLIUM NITRIDE COMPOUND SEMICONDUCTOR ELEMENT**



Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0591 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

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**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on July 15, 2003 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231. PO Box 1450, Alexandria, VA 22313-1450

*Brenda C. McFadden*  
Signature of Person Mailing Correspondence

Brenda C. McFadden

Typed or Printed Name of Person Mailing Correspondence

\*This certificate may only be used if paying by deposit account.

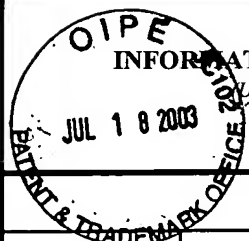
Dated: 7/15/03

*Jonathan P. Osha*  
Signature

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|---|-------------------------------|---|
| Docket Number (Optional)<br><b>08228.020001</b> |                               | Application Number<br><b>10/056,611</b> |
| Applicant(s)<br><b>Shiro SAKAI</b>              |                               |   |
| Filing Date<br><b>01/24/2002</b>                | Group Art Unit<br><b>2813</b> |   |

**U.S. PATENT DOCUMENTS**

| *EXAMINER<br>INITIAL | REF | DOCUMENT NUMBER | DATE       | NAME            | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|-----|-----------------|------------|-----------------|-------|----------|-------------------------------|
|                      | A1  | 5,717,226       | 02/10/1998 | Lee et al.      | 257   | 86       | 09/18/1996                    |
|                      | A2  | 6,423,984 B1    | 07/23/2002 | Kato et al.     | 257   | 103      | 09/10/1999                    |
|                      | A3  | 5,767,581       | 06/16/1998 | Nakamura et al. | 257   | 749      | 06/17/1996                    |
|                      | A4  | 6,261,862 B1    | 07/17/2001 | Hori et al      | 438   | 96       | 07/23/1999                    |
|                      | A5  | 5,804,918       | 09/08/1998 | Yazawa et al.   | 313   | 506      | 12/07/1995                    |
|                      |     |                 |            |                 |       |          |                               |
|                      |     |                 |            |                 |       |          |                               |
|                      |     |                 |            |                 |       |          |                               |
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|                      |     |                 |            |                 |       |          |                               |
|                      |     |                 |            |                 |       |          |                               |

**FOREIGN PATENT DOCUMENTS**

|  | REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation |    |
|--|-----|-----------------|------|---------|-------|----------|-------------|----|
|  |     |                 |      |         |       |          | YES         | NO |
|  |     |                 |      |         |       |          |             |    |
|  |     |                 |      |         |       |          |             |    |
|  |     |                 |      |         |       |          |             |    |
|  |     |                 |      |         |       |          |             |    |
|  |     |                 |      |         |       |          |             |    |

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

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|          |                 |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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